

CHAPTER 5: PRE-UPLOAD REQUIREMENTS

GENERAL PRE-UPLOAD SUBMISSION REQUIREMENTS

For Contract Year CY 2004, the General Pre-Upload Submission Requirements presented below apply to all ACRP transaction types:

- Initial Applications;
- Renewals;
- Mid-Year Benefit Enhancements;
- New Mid-Year Plan;
- Service Area Expansions (SAEs); and
- Plan Corrections.

Before you upload an Initial Application, Renewal, Mid-Year Benefit Enhancement, New Mid-Year Plan, SAE, and/or Plan Correction ACRP submission to the Health Plan Management System (HPMS), you must verify that all of the following statements are true:

- The User ID that will be used to upload your data is the same User ID that was used to download the data (i.e., the plan). If you are uploading for another user, the User ID in the file that you upload must match the User ID used to download that plan.
- All data in the PBP software has been SB Verified and all sections have been marked as completed.
- An ACR spreadsheet exists in the specified directory for all plans (Plan IDs) within all contracts (H Numbers) for which you are responsible.
- Version 2004.1 of the ACR/PBP Pre-Upload Validation (APV) software has been installed and executed for all H Numbers and plans (Plan IDs).
- The H Number (cell C8 on the Cover worksheet of the ACR) matches the H Number that forms part of the file name for the ACR spreadsheet (e.g., for H Number H1234, the file name of the ACR spreadsheet would be 1234####.XLS).
- The Plan ID (cell C9 on the Cover Worksheet of the ACR) matches the Plan ID that forms part of the file name for the ACR spreadsheet (e.g., for H Number H1234, Plan ID 001, the file name of the ACR spreadsheet would be 1234001.XLS).
- There are no "errors" in your ACR spreadsheets.
- The service areas (i.e., State and County Codes) entered in the Part I text fields provided on Worksheet A1 of the ACR are the same as those identified in the HPMS and downloaded as part of the PBP 2004 for the H Number/Plan ID combination.

- The version number (cell G1 on the Cover worksheet) of the ACR spreadsheet that you have used to enter your ACR data is V2004.1.
- The Name of the M+C Plan (cell B6 in Line 1 of Column A) is correct on the Cover worksheet of the ACR.
- The Type of Plan (cell C10 in Line 5 of Column A) is correct on the Cover worksheet of the ACR.

If you have already used the upload feature in PBP 2004 to create a compressed (zipped) file to upload, and you subsequently make changes to the data in either the 2004 PBP or ACR, you must re-run the upload feature to create a new compressed file and re-upload.

To ensure a successful upload, we strongly recommend that you read the additional Pre-Upload Requirements that are specific to each ACRP transaction type prior to initiating the upload process.

INITIAL APPLICATIONS AND RENEWALS

Pre-Upload Requirements

Before uploading your CY 2004 Renewal ACRP submissions, you must complete a crosswalk to describe how your new CY 2004 plans (by Plan ID) relate to your CY 2003 plans (by Plan ID). The following chart describes the renewal types and the relationships between CY 2004 and CY 2003 plans.

For information regarding system enrollment activities, enrollment procedures, and beneficiary notification, refer to the CY 2004 Call Letter available at www.cms.hhs.gov/healthplans.

New Plan	
HPMS Plan Crosswalk	A new plan added for 2004 that is not linked to a 2003 plan.
Crosswalk Edits	The new 2004 plan must have a new plan ID number.

Renewal Plan	
HPMS Plan Crosswalk	A 2004 plan that links to a 2003 plan and retains all of its plan service area from 2003.
Crosswalk Edits	<p>The 2004 plan must retain the same plan ID as the 2003 plan.</p> <p>The 2004 plan must retain the same service area as the 2003 plan.</p>

Consolidated Renewal Plan	
HPMS Plan Crosswalk	Two or more 2003 plans that consolidate into one 2004 plan.
Crosswalk Edits	<p>The resultant 2004 plan ID must be the same as one of the consolidating 2003 plan IDs.</p> <p>The service area of the resultant 2004 plan must have at least one county from each of the consolidating 2003 plan service areas.</p>

Renewal Plan with an SAE	
HPMS Plan Crosswalk	A 2004 plan that links to a 2003 plan and retains all of its plan service area from 2003, but also adds one or more new counties.
Crosswalk Edits	<p>The 2004 plan must retain the same plan ID as the 2003 plan.</p> <p>The 2004 plan must contain the same service area as the 2003 plan and have at least one new county.</p>

Renewal Plan with a SAR	
HPMS Plan Crosswalk	A 2004 plan that links to a 2003 plan and retains only a portion of its plan service area.
Crosswalk Edits	<p>The 2004 plan must retain the same plan ID as the 2003 plan.</p> <p>The 2004 plan must contain at least one county from the 2003 plan.</p> <p>The 2004 plan must not contain at least one county from the 2003 plan.</p>

Renewal Plan Split Based on Provider Groups	
HPMS Plan Crosswalk	Two or more 2004 plans that are created from one 2003 plan with membership determined by provider choice.
Crosswalk Edits	<p>One of the resultant 2004 plan IDs must be the same as the 2003 plan ID.</p> <p>The resultant 2004 plans must have the same service area.</p> <p>The resultant 2004 plans must each contain at least one county from the 2003 plan.</p>

Renewal Plan Split by Optional Supplemental Benefit Choice	
HPMS Plan Crosswalk	A 2003 plan with an optional supplemental benefit(s) that is split into two or more 2004 plans: one 2004 plan that contains only the basic benefits of the 2003 plan, and one or more 2004 plans that contain the same basic benefits and the former optional supplemental benefit(s) of the 2003 plan as a mandatory benefit(s).
Crosswalk Edits	<p>One of the resultant 2004 plan IDs must be the same as the 2003 plan ID.</p> <p>The resultant 2004 plans must have the same service area.</p> <p>The resultant 2004 plans must each contain at least one county from the 2003 plan.</p>

Renewal Plan Split by Premium and/or Cost-Sharing Based on Segmented Service Areas	
HPMS Plan Crosswalk	A 2003 plan that is segmented into two or more 2004 plans that share identical benefit packages with the exception of premium and/or cost sharing.
Crosswalk Edits	<p>One of the resultant 2004 plan IDs must be the same as the 2003 plan ID.</p> <p>The resultant 2004 plans must have service areas that are exclusive of each other (i.e., no county overlap).</p> <p>The resultant 2004 plans must each contain at least one county from the 2003 plan.</p>

Terminated Plan	
HPMS Plan Crosswalk	A 2003 plan that is no longer offered in 2004.
Crosswalk Edits	There is no link to a 2004 plan in the crosswalk.

In order to upload a renewal plan(s) for the first time, you are required to complete the Plan Crosswalk for all H Numbers for which you own plans (i.e., regardless of which plan you are uploading). However, for renewal resubmissions, you are only required to confirm the Plan Crosswalk. The last version of the Plan Crosswalk that is either completed on or prior to September 8, 2003 or updated during subsequent renewal resubmissions will become the final version.

Pre-ACRP Approval Requirements

Your ACRP data will not be forwarded for review and approval until the following conditions have been satisfied:

- All plans (Plan IDs) for an H Number have been received by the HPMS.
- All counties in your service area that were pending CMS approval when you downloaded your ACR/PBP 2004 data have been approved as part of your service area for CY 2004, have been approved by CMS in the Plan Information Control System (PICS), and have been made available to you in HPMS.
- All counties in your approved service area have been assigned to at least one plan.

Plan Receipt Requirements

For both Initial Application and Renewal ACRP transaction types, all plans (Plan IDs) for one H Number must be uploaded, received, and verified in the HPMS before they will be forwarded to CMS for desk review and approval.

Pending County Requirements

Renewal ACRP plans that contain pending service area expansion counties will not be forwarded for desk review until either the service area expansions have been approved or the pending counties have been removed from the plan.

Unassigned County Requirements

All counties that are part of your approved service area must be assigned to a plan (Plan ID) for Contract Year 2004. If any counties are not assigned to a plan, you must take one of the following actions:

- Assign the county or counties to a plan(s).
- Indicate if it is your organization's intent to request a service area reduction for the designated H Number and county as part of the renewal process. Please remember that this service area reduction action is an indication of intent only. Medicare managed care organizations (MCO) are required to use CMS's established service area reduction process to obtain approval for a reduction in service area. CMS review and approval of service area reductions will occur as a separate, but concurrent, process.
- If necessary, indicate that the PICS data is incorrect for the designated H Number and county. This may occur when counties are unassigned due to a discrepancy in the PICS data that is used to feed the HPMS. Please contact your CMS Plan Manager to help resolve any issues related to service area designations in PICS. CMS review and approval of reported inconsistencies in PICS data will occur as a separate, but concurrent, process.

MID-YEAR BENEFIT ENHANCEMENTS

Pre-Upload Requirements

In addition to the General Pre-Upload Submission Requirements, you must verify that the following statements are true before you upload your CY 2004 Mid-Year Benefit Enhancement ACRP submission:

- The H Number has been previously approved by CMS as an initial application or a contract renewal.
- There are no outstanding Mid-Year Benefit Enhancement ACRP transactions for the H Number/Plan ID combination (i.e., HPMS will only process one mid-year benefit enhancement transaction per H Number/Plan ID combination at a time).
- There are no outstanding Service Area Expansion ACRP transactions for the H Number/Plan ID combination (i.e., HPMS will not process a Mid-Year Benefit Enhancement transaction for an H Number/Plan ID combination until the Service Area Expansion has been approved).
- There are no outstanding Plan Correction transactions for the H Number/Plan ID combination (i.e., HPMS will not process a Mid-Year Benefit Enhancement transaction for an H Number/Plan ID combination until the Plan Correction has been approved).
- There are no outstanding New Mid-Year Plan ACRP transactions for the H Number/Plan ID combination (i.e., HPMS will not process a Mid-Year Benefit Enhancement transaction for an H Number/Plan ID combination until the New Mid-Year Plan has been approved).
- There are no changes to the service areas associated with the approved H Number/Plan ID combination.
- All required fields that detail the changes that are being submitted for each H Number/Plan ID combination have been completed (i.e., H Number, Plan ID, Reason for Mid-Year Benefit Enhancement, Detailed Description of Mid-Year Benefit Enhancement, and Proposed Effective Date).

Pre-ACRP Approval Requirements

There are no additional requirements to be met before forwarding the Mid-Year Benefit Enhancement ACRP submission for review and approval.

NEW MID-YEAR PLAN

Pre-Upload Requirements

In addition to the General Pre-Upload Submission Requirements, you must verify that the following statements are true before you upload your CY 2004 New Mid-Year Plan ACRP submission:

- For regular plans (i.e., non-employer-only plans), the H Number has been previously approved by CMS as an initial application or a contract renewal.
- For employer-only plans, the proposed effective date is after 1/1/2004.

Pre-ACRP Approval Requirements

There are no additional requirements to be met before forwarding the New Mid-Year ACRP submission for review and approval.

SERVICE AREA EXPANSIONS (SAE)

Pre-Upload Requirements

In addition to the General Pre-Upload Submission Requirements, you must verify that the following statements are true before you upload your 2004 Service Area Expansion ACRP submission:

- The H Number has been previously approved by CMS as an initial application or a contract renewal.
- You have created at least one new plan that covers the pending SAE counties and documented the benefits and costs in a new ACR/PBP 2004.
- The date is no later than August 1, 2004.

Pre-ACRP Approval Requirements

There are no additional requirements to be met before forwarding the Service Area Expansion ACRP submission for review and approval.

PLAN CORRECTIONS

Pre-Upload Requirements

In addition to the General Pre-Upload Submission Requirements, you must verify that the following statements are true before you upload your 2004 Plan Correction ACRP submission:

- The H Number/Plan ID has been previously approved by CMS as an initial application or a contract renewal.
- The Plan Correction request for the H Number/Plan ID has been approved by CMS.
- There are no outstanding Plan Correction transactions for the H Number/Plan ID combination (i.e., HPMS will only process one Plan Correction transaction per H Number/Plan ID combination at a time).
- There are no outstanding Mid-Year Benefit Enhancement transactions for the H Number/Plan ID combination (i.e., HPMS will not process a Plan Correction transaction

for an H Number/Plan ID combination until the Mid-Year Benefit Enhancement has been approved).

- There are no outstanding Service Area Expansion transactions for the H Number/Plan ID combination (i.e., HPMS will not process a Plan Correction transaction for an H Number/Plan ID combination until the Service Area Expansion has been approved).
- There are no outstanding New Mid-Year Plan transactions for the H Number/Plan ID combination (i.e., HPMS will not process a Plan Correction transaction for an H Number/Plan ID combination until the New Mid-Year Plan has been approved).
- There are no changes to the service areas associated with the approved H Number/Plan ID combination.

Pre-ACRP Approval Requirements

There are no additional requirements to be met before forwarding the Plan Correction ACRP submission for review and approval.